

Reply to Office Action of April 13, 2010

Remarks

Reconsideration of this Application is respectfully requested.

Upon entry of the foregoing amendment, claims 1-28 are pending in the application, with claims 1, 14, 21, 27, and 28 being the independent claims. Claims 1, 5, 21, 22, 27, and 28 are sought to be amended for clarity and to correct typographical errors in claims 1 and 21. Support for the amendments is found at least at, for example paragraphs [0019], [0021], [0051], [0072], [0073], [0081], [0083], [0089], [0090], [0093], [0094], [0096], [0098], [0100], and [0107] and FIG. 7 of U.S. Publication No. 2005/0071275 to Vainstein, *et al.* (alternatively, "the Specification"). These amendments should be entered after final because they merely clarify implicit features, do not require further search or consideration by the Examiner, and they place the claims in better condition for allowance and/or reduce the issues for appeal.

Based on the above amendment and the following remarks, Applicants respectfully request that the Examiner reconsider all outstanding objections and rejections and that they be withdrawn.

Statement of Substance of Examiner Interview

Further to the Interview Summary mailed May 17, 2010, Applicants submit the following Statement of Substance of Interview conducted between the Examiner and Applicants' representative, Randall K. Baldwin on May 12, 2010. Applicants' representatives gratefully acknowledge the courtesies extended to them by the Examiner in granting a telephone interview on May 12, 2010, during which discussions with Applicants' representative, Randall K. Baldwin, the Examiner clarified his comments

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regarding the objection to claims 1-13, the rejection of claim 22 under 35 U.S.C. § 112, the Response to Arguments section of the Office Action, and his interpretation of the teachings of the applied references. In particular, the Examiner clarified his comments regarding claims 1, 14, 21, 27, and 28 and the teachings of Serbinis, Leser, and Dutta. Applicants' representative also discussed distinctions between claims 1, 14, 21, 27, and 28 and the applied references. Applicants' representative additionally discussed with the Examiner the suggested claim language to convey the aforementioned distinction between the applied references and the claims. No agreement was reached on specific claim language. Applicants' representative also discussed proposed amendments to claims 1 and 22 and the Examiner agreed that the proposed amendments would overcome the objections to claims 1-13 and the rejection of claim 22 under 35 U.S.C. § 112. The substance of the discussion and arguments in the telephone interview is included in the present remarks.

Claim Objections

On page 8 of the Office Action claims 1-13 were objected to due to informalities. Although the Examiner at page 8 of the Office Action states that "[c]laims 1-13 and 28 are objected to," during the aforementioned telephonic interview, it was clarified that the Examiner meant to state claims 1-13. As agreed to during the telephonic interview, Applicants have amended claim 1 herein as suggested by the Examiner to address the Examiner's concerns. Claims 2-13 depend from claim 1. Accordingly, Applicants respectfully request reconsideration and withdrawal of the objections to claims 1-13.

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Rejection under 35 U.S.C. § 112

The Examiner has rejected claim 22 under 35 U.S.C. § 112, first paragraph, for allegedly failing to comply with the written description requirement. As discussed during the aforementioned telephonic interview, without acquiescing to the propriety of the rejection, Applicants have amended claim 22 to accommodate the rejection of the Examiner. Claim 22 as amended herein recites, *inter alia*, "wherein the external events originate from a system external to the server computer." By way of example and not limitation, the instant Specification describes non-limiting embodiments wherein "external events can originate from users or from another system (e.g., a document management system)" and "the external events can be from a document management system that is separate from the file (document) security system," respectively. (Specification, paragraphs [0073] and [0081]).

Accordingly, Applicants respectfully request that the Examiner reconsider and withdraw the rejection of claim 22 under 35 U.S.C. § 112.

Rejection under 35 U.S.C. § 102

Claims 1-8, 11, 13-18, and 27 were rejected under 35 U.S.C. § 102(e) as being allegedly anticipated by U.S. Patent No. 6,584,466 issued to Serbinis *et al.* (herein "Serbinis"). Applicants respectfully traverse this rejection.

Anticipation under 35 U.S.C. § 102 requires showing the presence in a single reference disclosure of each and every element of the claimed invention, arranged as in the claim. See *Lindemann Maschinenfabrik GMBH v. American Hoist & Derrick*, 221 U.S.P.Q. 481, 485 (Fed. Cir. 1984). Further, "[a] claim is anticipated only if each and

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every element as set forth in the claim is found, either expressly or inherently described, in a single prior art reference.” See *Verdegaal Bros. v. Union Oil Co. of California*, 814 F.2d 628, 631 (Fed. Cir. 1987) and M.P.E.P. §2131. Applicants submit that this is not found using Serbinis.

With regard to the Examiner’s response on pages 2-7 of the Office Action to Applicants’ previously-submitted arguments and the statements on pages 8-15 of the Office Action, in which the Examiner continues to characterize Serbinis as disclosing all of the features recited in claims 1-8, 11, 13-18, and 27, Applicants respectfully disagree and traverse for the reasons stated below.

As discussed during the aforementioned telephonic interview, without acquiescing to the propriety of the rejection, Applicants have amended independent claims 1, 5, 14, and 27 to expedite prosecution.

Claims 1-8, 11, 13-18, and 27 recite features that distinguish from Serbinis. In particular, for the reasons discussed herein, Serbinis fails to describe, explicitly or inherently, each and every feature recited in independent claims 1, 14, and 27.

For example, claim 1 as amended herein recites, among other features,

... wherein the transition rules specify circumstances under which a secured document is to transition from one state to another, and wherein the circumstances include the occurrence of internal and external events, ***wherein the external events originate from outside of the document security system;***

wherein the policy system is configured to enable the processor to provide a reference to the process-driven security policy to a client computer, the reference referring to the process-driven security policy and an accessor user list resident on the policy system; and

an access manager configured to enable the processor to access the process-driven security policy and ***determine whether access to a secured document is permitted by a requestor based on the policy state associated therewith at the time access is requested, the requestor being***

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listed in the accessor user list, and the corresponding one or more access restrictions thereof for the process-driven security policy.

Also, for example, claim 14 as amended herein recites, *inter alia*, "providing a reference to the security-policy state machine to a client computer, the reference referring to a current state of the security-policy state machine and an accessor user list resident in the security-policy state machine."

Further, for example, claim 27 as amended herein recites, among other features:

instructions to automatically transition from the former state to the subsequent different state of the security-policy state machine upon determining that the event causes the state transition, ***wherein the external events originate from outside the security-policy state machine;*** and

instructions to ***provide a reference to the process-driven security policy to a client machine, wherein the reference refers to the process-driven security policy and an accessor user list*** resident in the security-policy state machine.

Serbinis, in the portions cited by the Examiner, or in other portions, fails to describe, expressly or inherently, "wherein the policy system is configured to enable the processor to provide a reference to the process-driven security policy to a client computer, the reference referring to the process-driven security policy and an accessor user list resident on the policy system," as recited in claim 1. Serbinis also fails to disclose "providing a reference to the security-policy state machine to a client computer, the reference referring to a current state of the security-policy state machine and an accessor user list resident in the security-policy state machine" and "instructions to provide a reference to the process-driven security policy to a client machine, wherein the reference refers to the process-driven security policy and an accessor user list," as recited in claims 14 and 27, respectively.

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Moreover, as acknowledged by the Examiner with regards to claim 21, "Serbinis does not disclose: providing a reference to the process-driven security policy to [the] client computer, the reference referring to the process-driven security policy resident on the server computer and associating the reference to an electronic document." (Office Action, page 21).

With reference to claim 21, the Examiner asserts, which Applicants do not acquiesce to, that U.S. Patent Publication No. 2005/0028006 issued to Leser *et al.* (hereinafter "Leser") "discloses providing a reference to the process-driven security policy to [a] client computer, the reference referring to the process-driven security policy resident on the server computer and associating the reference to an electronic document" and that "it would have been obvious at the time the invention was made to one of ordinary skill in the art to cache [the] security-policy of the system of Serbinis into the user's computers thereby enabling them to generate and or use protected document[s] while they are off-line" (Office Action, page 22).

Even assuming *arguendo* that Serbinis and Leser can be properly combined in the manner suggested, to which Applicants do not acquiesce, Leser fails to cure the above-noted deficiencies of Serbinis with regards to claims 1, 14, and 27.

To the extent Leser may be deemed relevant to amended independent claims 1, 14, and 27, Applicants submit the following remarks.

Leser describes that "[a] control policy comprises at least a list of users who may access the data object, the privileges of those users with access, and an additional list of *users who may define or edit the control policy.*" (Leser, paragraph [0025]) (emphasis added). Leser further discloses that "[w]hile off-line, user A . . . creates a sensitive data

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object D (in the example, a document) and protects it with control policy P . . . [t]his action takes place while user A is disconnected from the policy server 29" and that "[s]ince *control policy P is cached on user A's laptop*, he or she is able to create and protect document D . . . [u]ser A . . . gives a copy of document D to user B . . . [u]ser B . . . is able to edit protected document D on his or her laptop while also disconnected from the policy server 29," and "[t]he collaboration of users A and B around document D (or any other document protected by control policy P) continues . . . as long as no expiry periods occur." (Leser, paragraph [0208]) (emphasis added). Applicants submit that a cached *copy of a control policy on a user's laptop* is not analogous to *providing a reference* to a security-policy state machine *resident in the security-policy state machine* as recited in claim 14. Similarly, Leser's method of caching a control policy on a user's laptop, in an environment wherein users "may define or edit the control policy" is not analogous to a policy system "configured to enable the processor to *provide a reference* to the process-driven security policy to a client computer, *the reference* referring to the process-driven security policy and an accessor user list *resident on the policy system*," as recited, using respective similar language, in claims 1 and 27.

Leser, in the portions cited by the Examiner, or in other portions, fails to teach or suggest "providing a reference to the security-policy state machine to a client computer, the reference referring to a current state of the security-policy state machine and an accessor user list," as recited in claim 14. Further, nowhere does Leser teach or suggest "wherein the policy system is configured to enable the processor to provide a reference to the process-driven security policy to a client computer, the reference referring to the process-driven security policy and an accessor user list resident on the policy system" or

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"instructions to provide a reference to the process-driven security policy to a client machine, wherein the reference refers to the process-driven security policy and an accessor user list," as recited in claims 1 and 27, respectively.

Serbinis discloses that "according to the authorization information submitted by a document originator, new document rights, document group rights and document instance rights are created for the document" in a document management service (DMS) system and that "the Authorized User is a pre-registered Authorized User with trusted credentials" (Serbinis, col. 3, lines 50-51, col. 7, lines 57-64, and col. 13, lines 13-14). Serbinis further discloses that "[d]ocument instances with a "pending" state have an active date/time that specifies the time at which the state of the document instance should be changed to "active"" (Serbinis, col. 8, lines 5-8). However, Serbinis fails to describe, expressly or inherently, at least the above-recited combination of features in claims 1, 14, and 27.

Further, Applicants submit that Serbinis fails to describe, expressly or inherently, "wherein the external events originate from outside the policy system" as recited in claim 1 or "wherein the external events originate from outside the security-policy state machine," as recited in claims 14 and 27.

For at least the above reasons, Applicants submit that Serbinis fails to support a rejection of claims 1, 14, and 27 under 35 U.S.C. § 102.

Claims 2-8, 11, and 13 depend from claim 1, and the same arguments above directed to claim 1 apply equally to these dependent claims. See *In Re Fine*, 837 F.2d 1071 (Fed. Cir. 1988) and M.P.E.P. § 2143.03.

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Moreover, claim 5 as amended recites "wherein at least one of the external events originates from a document management system." Applicants submit that Serbinis also fails to disclose this feature. For this additional reason, claim 5 should be found allowable over the applied reference.

Also, claims 15-18 are similarly not anticipated by Serbinis for the same reason as independent claim 14, from which they depend, and further in view of their own respective features.

Accordingly, Applicants respectfully request that the rejection of claims 1-8, 11, 13-18, and 27 under 35 U.S.C. § 102(e) be reconsidered and withdrawn.

Rejections under 35 U.S.C. § 103

Claim 9 was rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Serbinis in view of U.S. Patent No. 6,976,259 issued to Dutta *et al.* (hereinafter "Dutta"). Applicants respectfully traverse this rejection.

Dutta does not cure the deficiencies of Serbinis. Dutta is not stated by the Examiner to teach, nor does it teach or suggest, at least the above-recited distinguishing features of claim 1.

Claim 9 depends from claim 1, and the same arguments above directed to claim 1 apply equally to this dependent claim.

Therefore, Dutta cannot cure the deficiencies of Serbinis, and cannot be used to establish a *prima facie* case of obviousness with regards to claim 9. Accordingly, Applicants request that the rejection of claim 9 under U.S.C. § 103(a) be removed.

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Claim 10 was rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Serbinis in view of U.S. Patent Publication No. 2004/0193912 issued to Li *et al.* (hereinafter "Li"). Applicants respectfully traverse this rejection.

Li does not cure the deficiencies of Serbinis. Li is not stated by the Examiner to teach, nor does it teach or suggest, at least the above-recited distinguishing features of claim 1.

Claim 10 depends from claim 1, and the same arguments above directed to claim 1 apply equally to this dependent claim.

Therefore, Li cannot cure the deficiencies of Serbinis, and cannot be used to establish a *prima facie* case of obviousness with regards to claim 10. Accordingly, Applicants request that the rejection of claim 10 under U.S.C. § 103(a) be removed.

Claims 12, 19, and 20 were rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Serbinis in view of U.S. Patent No. 6,341,164 issued to Dilkie *et al.* (hereinafter "Dilkie"). Applicants respectfully traverse this rejection for the reasons stated below.

Dilkie does not cure the deficiencies of Serbinis. Dilkie is not used by the Examiner in the Office Action to teach or suggest, nor does Dilkie teach or suggest, at least the above noted distinguishing features of independent claims 1 and 14.

Claim 12 depends from claim 1, and the same arguments above directed to claim 1 apply equally to claim 12.

Claims 19 and 20 depend from claim 14, and the same arguments above directed to claim 1 apply equally to these dependent claims.

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Therefore, Dilkie cannot cure the deficiencies of Serbinis, and cannot be used to establish a *prima facie* case of obviousness with regards to claims 12, 19, and 20. Accordingly, Applicants request that the rejection of claims 12, 19, and 20 under U.S.C. § 103(a) be removed.

Claims 21, 23-26, and 28 were rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Serbinis in view of Leser.

With regards to the Examiner's remarks on pages 21-25 of the Office Action, in which the Examiner asserts that the allegedly obvious combination of Serbinis and Leser discloses the method and computer readable medium recited in claims 21 and 28, respectively, Applicants disagree and traverse this rejection for the reasons stated below.

Claim 21 as amended herein recites, among other features:

providing a reference to the process-driven security policy to a client computer, the reference referring to the process-driven security policy and an accessor user list resident on the server computer;
associating the reference to an electronic document; [and]

...
subsequently determining at the server computer whether a requestor is permitted to access the electronic document, ***the access being based on a current state of the process-driven security policy and the requestor being listed in the accessor user list***, the current state being informed to the server computer by sending the reference to the server computer.

Claim 28 as amended herein recites, *inter alia*:

instructions to ***provide a reference to the process-driven security policy to a client machine, wherein the reference refers to the process-driven security policy and an accessor user list resident on the server machine***; [and]

...
instructions to determine at the server computer whether a requestor is permitted to access the electronic document, ***wherein the access is based on a current state of the process-driven security policy and the requestor being listed in the accessor user list***, and wherein the

current state is informed to the server computer by sending the reference to the server computer.

Claims 21 and 28 as amended herein recite a method and a computer readable storage medium, respectively, with distinguishing features similar to claim 27, and thus are patentable over Serbinis and Leser for similar reasons as discussed above with regards to claim 27. The Examiner acknowledges that "Serbinis does not disclose: providing a reference to the process-driven security policy to [a] client computer, the reference referring to the process-driven security policy resident on the server computer." (Office Action, page 21).

Rather, the Examiner relies on Leser to teach or suggest these features. The Examiner states, which Applicants do not acquiesce to, that Leser discloses the features of previously pending claims 21 and 28 and that it would have been obvious to "cache [the] security-policy of the system of Serbinis into the user's computers thereby enabling them to generate and or use protected document[s] while they are off-line" (Office Action, pages 22 and 25). However, as discussed above with reference to claims 1, 14, and 27, Leser fails to teach or suggest at least "providing a reference to the process-driven security policy to a client computer, the *reference referring to the process-driven security policy and an accessor user list resident on the server computer*" and "wherein the access is based on a current state of the process-driven security policy and the requestor being listed in the accessor user list," as recited, using respective similar language, in claims 21 and 28.

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Moreover, claims 21 and 28 as amended herein recite "wherein the external events are external to the server computer" and "wherein the external events originate from outside the server machine," respectively.

As discussed above with regards to similar features recited in claims 1, 14, and 27, Serbinis and Leser, alone, or in the obvious combination do not teach or suggest the above-noted distinguishing features recited in claims 21 and 28.

Further, neither Serbinis nor Leser, alone, or in the allegedly obvious combination teach or suggest "wherein the access is based on a current state of the process-driven security policy and the requestor being listed in the accessor user list," as recited, using respective similar language, in claims 21 and 28.

Accordingly, Applicants respectfully request that the Examiner reconsider and withdraw rejection of independent claims 21 and 28, and find them allowable over the applied references.

Also, claims 23-26, which depend from independent claim 21, are allowable for at least being dependent from allowable claim 21, in addition to their own respective distinguishing features.

Claim 22 was rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Serbinis in view of Leser, and further in view of Dutta. Applicants respectfully traverse this rejection for the reason stated below.

Dutta does not cure the deficiencies of Serbinis as modified by Leser. Dutta is not stated by the Examiner to teach, nor does it teach or suggest, at least the above-recited distinguishing features of claim 21.

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Claim 22 depends from claim 21, and the same arguments above directed to claim 21 apply equally to claim 22.

Therefore, Dutta cannot cure the deficiencies of Serbinis and Leser, and cannot be used to establish a *prima facie* case of obviousness with regards to claim 22. Accordingly, Applicants request that the rejection of claim 22 under U.S.C. § 103(a) be removed.

Conclusion

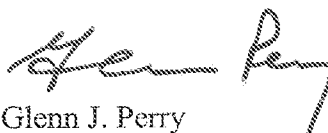
All of the stated grounds of objection and rejection have been properly traversed, accommodated, or rendered moot. Applicants therefore respectfully request that the Examiner reconsider all presently outstanding objections and rejections and that they be withdrawn. Applicants believe that a full and complete reply has been made to the outstanding Office Action and, as such, the present application is in condition for allowance. If the Examiner believes, for any reason, that personal communication will expedite prosecution of this application, the Examiner is invited to telephone the undersigned at the number provided.

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Prompt and favorable consideration of this Amendment and Reply is respectfully
requested.

Respectfully submitted,

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